

Form PTO-1449 (Modified)

Atty Docket No.:
003801.P007

Serial No.:
09/491,703

List of Patents and Publications Statement
(Use several sheets if necessary)

Applicants:
Alex D. Poon

Filing Date: January 26, 2000

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

Exam. Initial	Date	Document Number	Name	Class	Sub-Class	Filing Date
<i>JP</i>	11/10/98	5,835,896	Fisher et al.	705	37	3/29/96
<i>JP</i>	5/25/71	3,581,072	Frederick Nymeyer	235	152	3/28/68
<i>JP</i>	6/30/87	4,677,552	Sibley, Jr.	364	408	10/5/84
<i>JP</i>	1/17/89	4,799,156	Shavit et al.	364	401	10/1/86
<i>JP</i>	2/20/90	4,903,201	Wagner	364	408	11/3/83
<i>JP</i>	11/5/91	5,063,507	Lindsey et al.	364	408	9/14/90
<i>JP</i>	3/31/92	5,101,353	Lupien et al.	364	408	5/31/89
<i>JP</i>	8/4/92	5,136,501	Silverman et al.	364	408	5/26/89
<i>JP</i>	12/1/92	5,168,446	Wiseman	364	408	5/23/89
<i>JP</i>	9/7/93	5,243,515	Lee	364	401	10/30/90
<i>JP</i>	11/2/93	5,258,908	Hartheimer et al.	364	408	11/2/90

FOREIGN PATENT DOCUMENTS

No.	Document No.	Date	Country	Name	Class	Sub-Class	Translation
<i>JP</i>	2,253,543	10/9/97	Canada				Y
<i>JP</i>	9300266	9/1/94	Netherlands				
<i>JP</i>	WO 92/15174	9/3/92	PCT				

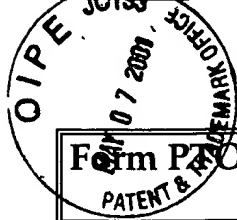
OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

<i>JP</i>	Thomas W. Malone, Joanne Yates, Robert I. Benjamin, "Electronic Markets and Electronic Hierarchies", Communications of the ACM, June 1987, Vol. 30, Number 6, p. 484-497.
<i>JP</i>	AUCNET: TV Auction network System, Harvard Business School, 9-190-001, Rev. April 12, 1996, p. 1-15.
<i>JP</i>	Ho Geun Lee, "Electronic Brokerage and Electronic Auction: The Impact of IT on Market Structures", Proceedings of the 29th Annual Hawaii International Conference on System Sciences - 1996, p. 397-406.

Examiner

Date Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Form PTO-1449 (Modified)				Atty Docket No.: 003801.P007		Serial No.: 09/491,702		
List of Patents and Publications Statement (Use several sheets if necessary)				Applicants: Alex D. Poon				
				Filing Date: January 26, 2000				
REFERENCE DESIGNATION				U.S. PATENT DOCUMENTS				
Exam. Initial		Date	Document Number	Name	Class	Sub-Class	Filing Date	
		4/19/94	5,305,200	Hartheimer et al.	364	408	11/2/90	
		6/28/94	5,325,297	Bird et al.	364	419.07	6/25/92	
		7/12/94	5,329,589	Fraser et al.	379	91	6/3/93	
		12/20/94	5,375,055	Togher et al.	364	408	2/3/92	
		2/28/95	5,394,324	Clearwater	364	402	12/8/93	
		6/20/95	5,426,281	Abecassis	235	379	10/29/93	
		1/18/94	5,280,422	Moe et al.	364	140	11/5/90	
		2/10/98	5,717,989	Tozzoli et al.	705	37	10/13/94	
		12/20/94	5,375,055	Togher et al.	364	408	2/3/92	
		3/22/94	5,297,032	Trojan et al.	364	408	2/1/91	
		4/27/93	5,205,200	Wright	91	1	1/9/92	
		4/6/71	3,573,747	Adams et al.	340	172.5	2/24/69	
FOREIGN PATENT DOCUMENTS								
No.		Document No.	Date	Country	Name	Class	Sub-Class	Translation
		2658635	2/16/90	France				
		WO 97/37315	10/9/97	PCT				
		WO 96/34356	10/31/96	PCT				
OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)								
		Eric K. Clemons, Bruce W. Weber, "Evaluating the Prospects for Alternative Electronic Securities Markets", International Conference on Information Systems, 1991, p. 53-61.						
		Mardesich, Jodi, "Onsale Takes Auction Gavel Electronic", Computer Reseller News, July 8, 1996, 2 pages.						
		"Personal Optimized Decision/Transaction Program", IBM Technical Disclosure Bulletin, Vol. 38, No. 1, January 1995, p. 83-84.						
Examiner 				Date Considered 8/1/01				
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.								

Form PTO-1449 (Modified)

Atty Docket No.:
003801.P007Serial No.:
09/491,703

List of Patents and Publications Statement












(Use several sheets if necessary)

Applicants:
Alex D. Poon


Filing Date: January 26, 2000

REFERENCE DESIGNATION




U.S. PATENT DOCUMENTS

Exam. Initial	Date	Document Number	Name	Class	Sub-Class	Filing Date
	3/31/92	5,101,353	Lupien et al.	364	408	5/31/89
	5/25/71	3,581,072	Nymeyer	235	152	3/28/68
	3/22/94	5,297,031	Guterman et al.	364	408	3/6/90
	6/16/87	4,674,044	Kalmus et al.	364	408	1/30/85
	1/20/98	5,710,889	Clark et al.	395	244	6/7/95
	8/4/92	5,136,501	Silverman et al.	364	408	5/26/89
	6/17/97	5,640,569	Miller et al.	395	729	4/28/95
	3/31/92	5,101,353	Lupien et al.	364	408	5/31/89
	12/6/88	4,789,928	Fujisaki	364	401	1/30/87
	12/31/91	5,077,665	Silverman et al.	364	408	5/25/89
	10/6/98	5,818,914	Fujisaki	379	93.12	3/27/95

FOREIGN PATENT DOCUMENTS

No.	Document No.	Date	Country	Name	Class	Sub-Class	Translation
							

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

	Boon Siong Neo, "The Implementation of an Electronic Market for Pig Trading in Singapore", Journal of Strategic Information Systems, 1992, p. 278-288.
	Todd E. Rockoff, Michael Groves, "Design of an Internet-based System for Remote Dutch Auctions", Internet Research, ISSN 1066-2243, Vol. 5, Number 4, 1995, p. 10-16.
	Marcel N. Massimb, Bruce D. Phelps, "Electronic Trading, Market Structure and Liquidity", Financial Analysts Journal, January/February 1994, p. 39-50.

Examiner

Date Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form PTO-1449 (Modified)				Atty Docket No.: 003801.P007		Serial No.: 09/491,703	
List of Patents and Publications Statement (Use several sheets if necessary)				Applicants: Alex D. Poon Filing Date: January 26, 2000			

MAY 07 2001
 U.S. PATENT & TRADEMARK OFFICE

RECEIVED
 MAY 8 2001
 Technology Center 2100


REFERENCE DESIGNATION				U.S. PATENT DOCUMENTS			
Exam. Initial	Date	Document Number	Name	Class	Sub-Class	Filing Date	
JD	2/28/95	5,394,324	Clearwater	364	402	12/8/93	
JD	9/3/96	5,553,145	Micali	380	30	8/4/95	
JD	9/2/97	5,664,115	Fraser	705	37	6/7/95	
JD	10/20/98	5,826,244	Huberman	705	37	8/23/95	
JD	11/18/97	5,689,652	Lupien et al.	395	237	4/27/95	
JD	12/15/98	5,850,442	Muftic	380	21	3/26/96	
JD	3/10/98	5,727,165	Ordish et al.	395	237	12/27/94	
JD	12/1/98	5,845,266	Lupien et al.	705	37	12/12/95	
JD	8/11/98	5,794,219	Brown	705	37	2/20/96	
JD	10/25/83	4,412,287	Braddock, III	364	408	9/15/82	
JD	1/17/89	4,799,156	Shavit et al.	364	401	10/1/86	

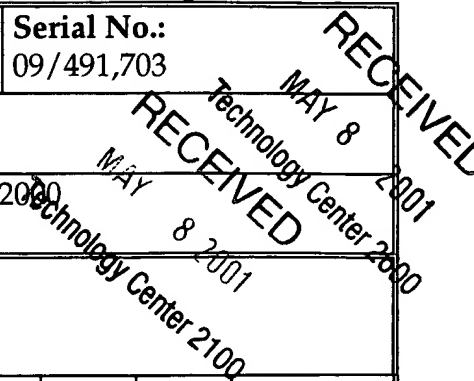
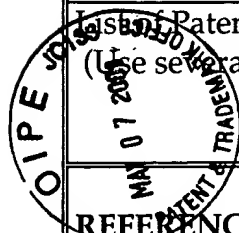
FOREIGN PATENT DOCUMENTS							
No.	Document No.	Date	Country	Name	Class	Sub-Class	Translation

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)	
JD	"Anonymous Delivery of Goods in Electronic Commerce", IBM Technical Disclosure Bulletin, Vol. 39, No. 03, March 1996, p. 363-366.
JD	D. L. Post, S. S. Coppinger, G. B. Sheble, "Application of Auctions as a Pricing Mechanism for the Interchange of Electric Power", IEEE Transactions on Power Systems, Vol. 10, No. 3, August 1995, p. 1580-1584.
JD	Christopher M. Hess, Chris F. Kemerer, "Computerized Loan Origination Systems: An Industry Case Study of the Electronic Markets Hypothesis", MIS Quarterly, September 1994, p. 251-275.

Examiner 	Date Considered
---------------------	----------------------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form PTO-1449 (Modified)				Atty Docket No.: 003801.P007		Serial No.: 09/491,703	
U.S. Patents and Publications Statement (Use several sheets if necessary)				Applicants: Alex D. Poon			
				Filing Date: January 26, 2000			
REFERENCE DESIGNATION				U.S. PATENT DOCUMENTS			
Exam. Initial		Date	Document Number	Name	Class	Sub-Class	Filing Date
CA		2/20/90	4,903,201	Wagner	364	408	11/3/83
CA		9/7/93	5,243,515	Lee	364	401	10/30/90
CA		2/3/98	5,715,402	Popolo	395	237	11/9/95
CA		6/16/87	4,674,044	Kalmus et al.	364	408	1/30/85
CA		6/30/87	4,677,552	Sibley, Jr.	364	408	10/5/84
CA		12/1/92	5,168,446	Wiseman	364	408	5/23/89
CA		4/18/89	4,823,265	Nelson	364	408	5/11/87
FOREIGN PATENT DOCUMENTS							
No.		Document No.	Date	Country	Name	Class	Sub-Class
OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)							
CA		Martin Reck, "Formally Specifying an Automated Trade Execution System", J. Systems Software, 1993, 21, p. 245-252.					
CA		Vladimir Zwass, "Electronic Commerce: Structures and Issues", International Journal of Electronic Commerce, Vol. 1, No. 1, Fall, 1996, p. 3-23.					
CA		Ian Graham, "The Emergence of Linked Fish Markets in Europe, Focus Theme, 4 pages.					
CA		Ingvar Tjostheim, Jan-Olav Eide, "A Case Study of an On-line Auction for the World Wide Web", 10 pages.					
CA		Siegmann, Ken, "Nowhere to Go But Up", PC Week, Vol. 12, No. 42, 3 pages.					
CA		"Onsale Joins Fray as Online Shopping Picks Up Speed: INTERNET BOOMS", Computer Reseller News, June 5, 1995, ISSN 0893-8377, p. 73.					
Examiner 				Date Considered 8/11/01			
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							



Form ITO-1449 (Modified)

Atty Docket No.:

Serial No.:

003801.P007

09/491,703

List of Patents and Publications Statement

Applicants:

(Use several sheets if necessary)

Alex D. Poon

Filing Date: January 26, 2000

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

Exam. Initial	Date	Document Number	Name	Class	Sub- Class	Filing Date

FOREIGN PATENT DOCUMENTS

No.	Document No.	Date	Country	Name	Class	Sub- Class	Trans- lation

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

	"ONSALE: ONSALE Brings Thrill of Auctions and Bargain Hunting Online; Unique Internet Retail Service Debuts with Week-long Charity Auction for the Computer Museum in Boston", May 24, 1995, 3 pages.
	Dr. Beat F. Schmid, "Research Issues, "Electronic Markets, Newsletter of the Competence Centre Electronic Markets, No. 9/10, October 93.
	Stefan Klein, "Introduction to Electronic Auctions", University of Munster, Focus Theme, 4 pages.
	Efraim Turban, "Auctions and Bidding on the Internet: An Assessment", California State University, Focus Theme, 5 pages.
	Eric Van Heck, Pieter M. Ribbers, "Experiences with Electronic Auctions in the Dutch Flower Industry", Focus Theme, 6 pages.
	Martin Reck, "Trading-Process Characteristics of Electronic Auctions", Focus Theme, 7 pages.
	Ho Geun Lee, "AUCNET: Electronic Intermediary for Used-Car Transactions", Focus Theme, 5 pages.

Examiner

Date Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.